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Washington, D.C. 20231

SERIAL NO. 09/895,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

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Docket No. AUS920010235US1

Serial No. 09/895,977

Atty: LAV / JVL

Applicant: Calderaro, et al.

☒ Transmittal Letter (2 copies)

☒ Certificate of Facsimile

☐ Amendment (☐ pages)

☐ Notice of Appeal

☐ Amendment AF

☐ Appeal Brief (3 copies)

☐ Ext. of Time

☐ Reply Brief

☒ IDS Statement

☐ Change of Address

☒ Form PTO-1449 (Modified)

☐ Other _____

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Deposit Acct. No. 09-0447

Fees: Amendment _____ Notice of Appeal _____ Appeal Brief _____ Other \$0.00

Any Ref. No. 1029

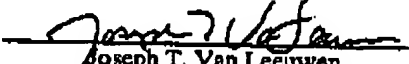
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I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below.	
 Joseph T. Van Leeuwen	Date <u>8/1/05</u>

Sir:

Transmitted herewith for filing is the Patent Application of:

Inventors: Calderaro, et al.

For: System and Method for Organizational Risk Based On Personnel Planning Factors

Enclosed are:

- ☒ Information Disclosure Statement;
- ☒ Modified form 1449 listing 5 references;
- ☒ copies of any non-U.S. Patent references listed on form 1449.


37 CFR § 1.97 is satisfied by the following:

- ☒ This IDS is being filed pursuant to CFR § 1.97(b), therefore no fee as set forth in § 1.17(p) is believed to be due. If, however, more than three months have elapsed since the filing date and a first Office action on the merits has already been mailed, then please charge my Deposit Account No. 09-0447 the fees set forth in § 1.17(p) [\$180.00]. A duplicate copy of this sheet is enclosed.

- ☒ The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 09-0447. A duplicate copy of this sheet is enclosed.

- ☒ Any additional patent application processing fees under 37 CFR Sect. 1.17.

Respectfully submitted,

By 
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Atty Ref. No. 1029

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SERIAL NO. 09/895,977

IBM DOCKET NO. AUS920010235US1

DATE: August 1, 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	:	Group Art Unit: 2163
Calderaro, et. al.	:	Intellectual Property Law Department
Serial No.: 09/895,977	:	International Business
Filed: June 29, 2001	:	Machines Corporation
Title: <u>System and Method for</u>	:	Intellectual Property Law Dept.
<u>Organizational Risk Based On</u>	:	11400 Burnet Road
<u>Personnel Planning Factors</u>	:	Austin, Texas 78758

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INFORMATION DISCLOSURE STATEMENT

The Commissioner of Patents
Washington, D.C. 20231


Sir:

Applicants submit herewith patents, publications or other information of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

While this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such. In accordance with 37 CFR § 1.97(g) the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56 (a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 CFR § 1.98 (a)(1). A copy of each listed item that is not a U.S. Patent document, is supplied herewith.

Respectfully submitted,

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Page 1 of 1

Any Ref. No. 1029

In Place of FORM PTO-1449 (Modified)

Serial No. 02/895,977Applicant: Calderaro, et. al.Filing Date: 6/29/2001Group: 2163Atty. Docket No. AUS920010235US1**LIST OF PATENTS AND PUBLICATIONS FOR
APPLICANT'S INFORMATION DISCLOSURE
STATEMENT****U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Classification Class / Subclass	Filing Date if Appropriate
_____	AA 6,338,042	01-2002	Paizis, James N.	705/11	
_____	AB 6,754,874	06-2004	Richman, Ira S.	715/507	
_____	AC 5,819,231	10-1998	Tremaine, John L.	705/7	
_____	AD 6,269,355	07-2001	Grimae et al.	706/46	
_____	AE 6,741,993	05-2004	Zitaner et al.	707/10	
_____	AF				
_____	AG				
_____	AH				
_____	AI				
_____	AJ				
_____	AK				
_____	AL				

FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Classification	Translation Yes No
_____	AM				
_____	AN				
_____	AO				
_____	AP				

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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_____	AS
_____	AT
_____	AU

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.